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PTO/SB/30(08-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**REQUEST FOR CONTINUED EXAMINATION (RCE)  
TRANSMITTAL**

Subsection (b) of 35 U.S.C. § 132, effective on May 29, 2000, provides for continued examination of a utility or plant application filed on or after June 8, 1995. See the American Inventors Protection Act of 1999 (AIPA).

**This is a Request for Continued Examination (RCE) under 37 C.F.R. § 1.114 of the above-identified application.**

**NOTE:** 37 C.F.R. § 1.114 is effective on May 29, 2000. If the above-identified application was filed prior to May 29, 2000, applicant may wish to consider filing a continued prosecution application (CPA) under 37 C.F.R. § 1.53(d) (PTO/SB/29) instead of a RCE to be eligible for the patent term adjustment provisions of the AIPA. See Changes to Application Examination and Provisional Application Practice, Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office 47 (Apr. 11, 2000), which established RCE practice.

Application No. 09/823,809  
Filing Date March 30, 2001  
First Named Inventor Thomas D. Lee  
Group Art Unit 2873  
Examiner Name Sugarman, Scott J.  
Attorney Docket No. 042390P10098

**1. Submission required under 37 C.F.R. § 1.114**

- a. ☐ Previously submitted
- i. ☐ Consider the amendment(s)/reply under 37. C.F.R. § 1.116 previously filed on \_\_\_\_\_  
(Any unentered amendment(s) referred to above will be entered).
- ii. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_
- iii. ☐ Other \_\_\_\_\_
- b. ☒ Enclosed
- i. ☒ Preliminary Amendment
- ii. ☐ Affidavit(s)/Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☐ Other \_\_\_\_\_

**2. Miscellaneous**

- a. ☐ Suspension of action on the above-identified application is requested under 37 C.F.R. § 1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months. Fee under 37 C.F.R. § 1.17(i) required)
- b. ☐ Other \_\_\_\_\_

**3. Fees** The RCE fee under 37 C.F.R. § 1.17(e) is required by C.F.R. § 1.114 when the RCE is filed.

- a. ☒ The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No. 02-2666
- i. ☒ RCE fee required under 37 C.F.R. § 1.17(e)

- ii. ☐ Extension of time fee (37 C.F.R. §§ 1.136 and 1.17)

☒ Pursuant to 37 C.F.R. 1.136(a)(3), applicant(s) hereby request and authorize the U.S. Patent and Trademark Office to (1) treat any concurrent or future reply that requires a petition for extension of time as incorporating a petition for extension of time for the appropriate length of time and (2) charge all required fees, including extension of time fees and fees under 37 C.F.R. 1.16 and 1.17, to Deposit Account No. 02-2666.

- iii. ☐ Processing fee under 37 CFR § 1.17(i) for Limited Suspension of Action

- iv. ☐ Other \_\_\_\_\_

- b. ☒ Check in the amount of \$ 750.00 enclosed

- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

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**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print/Type) George Chen

Registration No. (Attorney/Agent) 50,807


Signature 

Date September 30, 2003

**CERTIFICATE OF MAILING OR TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner For Patents, Box RCE, Washington, D.C. 20231, or facsimile transmitted to the U.S. Patent and Trademark Office on:

Name (Print/Type) Teresa Edwards

Signature 

Date September 30, 2003



Attorney's Docket No.: 042390P10098

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: )

Lee, Thomas D. )

U.S. Serial No: 09/823,809 )

Examiner: Sugarman, Scott J.

Filed: March 30, 2001 )

Art Unit: 2873

For: COMBINED ON-AXIS AND )  
OFF-AXIS ILLUMINATION )

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

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PRELIMINARY AMENDMENT

Dear Sir:

Applicant respectfully requests that this Preliminary Amendment be entered prior to examination of the above-identified patent application.

**FIRST CLASS CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231

on September 30, 2003

Date of Deposit

Teresa Edwards

Name of Person Mailing Correspondence

Teresa Edwards

Signature

September 30, 2003

Date